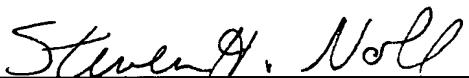


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| FORM PTO-1390 REV. 5-93 | | US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEYS DOCKET NUMBER P00,0760 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | U.S. APPLICATION NO (if known, see 37 CFR 1.5) 09/555295 | |
| INTERNATIONAL APPLICATION NO. PCT/DE98/03254 | INTERNATIONAL FILING DATE 06 NOVEMBER 1998 | PRIORITY DATE CLAIMED 28 NOVEMBER 1997 | |
| TITLE OF INVENTION METHOD FOR ADJUSTING THE TILTING AND THE LEVEL OF OPTICAL SIGNALS | | | |
| APPLICANT(S) FOR DO/EO/US ERICH GOTTWALD | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.</p> <p>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of International Application as filed (35 U.S.C. 371(c)(2)) -drawings attached.</p> <ol style="list-style-type: none"><input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).<input type="checkbox"/> has been transmitted by the International Bureau.<input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) <p>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2) - drawings attached.</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))</p> <ol style="list-style-type: none"><input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).<input type="checkbox"/> have been transmitted by the International Bureau.<input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.<input checked="" type="checkbox"/> have not been made and will not be made. <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> | | | |
| Items 11. to 16. below concern other document(s) or information included: | | | |
| <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report).</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. (SEE ATTACHED ENVELOPE)</p> <p>13. <input checked="" type="checkbox"/> Amendment "A" prior to action.</p> <p><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input checked="" type="checkbox"/> Other items or information:</p> <ol style="list-style-type: none"><input checked="" type="checkbox"/> Request for approval of drawing changes, 3 sheets of drawings (Figs. 1-10).<input checked="" type="checkbox"/> Abstract Replacement Page 18<input checked="" type="checkbox"/> EXPRESS MAIL # EL 544622736US dated May 26, 2000. | | | |

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|---|--------------|---|------------------------------------|
| U.S. APPLICATION NO. Unknown, filed 57 C.F.R. 51 09755529 | | INTERNATIONAL APPLICATION NO. PCT/DE98/03254 | ATTORNEY'S DOCKET NUMBER 0,0760 |
| 17. <input checked="" type="checkbox"/> The following fees are submitted: | | CALCULATIONS | PTO USE ONLY |
| BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5): Search Report has been prepared by the EPO or JPO \$840.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) .. \$670.00 No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2) \$760.00 Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2) paid to USPTO \$970.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$ 96.00 | | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | \$ 840.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)). | | \$ | |
| Claims | Number Filed | Number Extra | Rate |
| Total Claims | 31 - 20 = | 11 | X \$ 18.00 \$ 198.00 |
| Independent Claims | 05 - 3 = | 02 | X \$ 78.00 \$ 156.00 |
| Multiple Dependent Claims | | \$260.00 + | \$ |
| TOTAL OF ABOVE CALCULATIONS = | | \$1194.00 | |
| Reduction by $\frac{1}{2}$ for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28) | | \$ | |
| SUBTOTAL = | | \$1194.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | \$ | |
| TOTAL NATIONAL FEE = | | \$1194.00 | |
| Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property | | \$ | |
| TOTAL FEES ENCLOSED = | | \$1194.00 | |
| | | Amount to be refunded | \$ |
| | | charged | \$ |
| a. <input checked="" type="checkbox"/> A check in the amount of <u>\$ 1194.00</u> to cover the above fees is enclosed. | | | |
| b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. | | | |
| c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>08-2290</u> . A duplicate copy of this sheet is enclosed. | | | |
| NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | |
| SEND ALL CORRESPONDENCE TO: Hill & Simpson A Professional Corporation 85th Floor Sears Tower Chicago, Illinois 60606 | | | |
|  SIGNATURE <u>Steven H. Noll</u> NAME <u>Steven H. Noll</u> Registration Number <u>28,982</u> | | | |

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BOX PCT

IN THE UNITED STATES ELECTED OFFICE
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY-CHAPTER II

5 APPLICANT(S): ERICH GOTTWALD DOCKET NO: P00,0760

SERIAL NO: GROUP ART UNIT:

EXAMINER:

INTERNATIONAL APPLICATION NO: PCT/DE98/03254

INTERNATIONAL FILING DATE: 06 NOVEMBER 1998

10 INVENTION: **METHOD AND APPARATUS FOR ADJUSTING
TILTING AND LEVEL OF OPTICAL SIGNALS**

Assistant Commissioner for Patents,
Washington, D.C. 20231

REQUEST FOR APPROVAL OF DRAWING CHANGES

15 Dear Sir:

The Applicants respectfully request consideration and approval of drawing changes made to Figures 3 and 5-10, marked in red and included herewith. These changes have been made to label previously unlabeled blocks within these Figures in order to conform with U.S. Patent practice.

20 Respectfully submitted,

Steven H. Noll (Reg. No. 28,982)

Steven H. Noll
Hill & Simpson
A Professional Corporation
85th Floor Sears Tower
Chicago, Illinois 60606
(312) 876-0200
Attorneys for Applicant

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09/555295

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CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Mailing Label Number EL 544622736US

Date of Deposit: MAY 26, 2000

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT
Assistant Commissioner for Patents
Washington DC 20231**

Case Number: P00,0760

Applicant(s): ERICH GOTTWALD

International Application No. PCT/DE98/03254

International Filing Date 06 November 1998

Priority Date Claimed 28 November 1997

Title: Method for Adjusting the Tilting and the Level of Optical Signals

Enclosed are the following documents:

International application as filed, drawings attached;

English translation, drawings attached;

Annexes;

Executed Declaration;

PTO 1390 in duplicate;

Amendment "A" prior to action;

Information Disclosure Statement; PTO 1449, Search Report, References;

Request for approval of drawing changes, 3 sheets of drawings, Figs. 1-10;

Abstract Replacement Page, page 18;

Fee: \$ 1194.00

Postcard

(See attached envelope for Executed Assignment;
PTO 1595; \$40.00 filing fee; Postcard)



Signature of person mailing documents and fees